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PTO/SB/01 (10-00)

Approved for use through 10/31/2002 OMB 0651-0032

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

Declaration Submitted with Initial Filing       Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number	SSL-001
First Named Inventor	Billings
COMPLETE IF KNOWN	
Application Number	/
Filing Date	
Group Art Unit	
Examiner Name	

As a below named Inventor, I hereby declare that.

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**A METHOD AND SYSTEM FOR PROVIDING DOWNSIDE PROTECTION OF STOCK MARKET INVESTMENTS**

(Title of the Invention)

the specification of which

 is attached hereto

OR

 was filed on (MM/DD/YYYY) 

as United States Application Number or PCT International

(if applicable)

Application Number and was amended on (MM/DD/YYYY) 

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES	Certified Copy Attached? NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

 Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

[Page 1 of 2]

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PTO/SB/01 (10-01)

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**DECLARATION — Utility or Design Patent Application**

Direct all correspondence to

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or Bar Code Label

OR

Correspondence address below

Name James A. Barry, Jr.

Address 13967 Marquesas Way #19

Address

City Marina del Rey

State CA

ZIP 90292

Country USA

Telephone 310-306-8654

Fax 310-306-2582

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that wilful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such wilful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:** A petition has been filed for this unsigned inventorGiven Name James Martin  
(first and middle (if any))Family Name Billings  
or SurnameInventor's  
Signature*James M Billings*

Date 01-29-01

Residence: City Sealy

State TX

Country USA

Citizenship USA

Mailing Address 910 North Meyer

Mailing Address

City Sealy

State TX

ZIP 77474

Country USA

**NAME OF SECOND INVENTOR:** A petition has been filed for this unsigned inventorGiven Name William Robert  
(first and middle (if any))Family Name Bailey, Jr.  
or SurnameInventor's  
Signature*William R. Bailey, Jr.*

Date 01-29-2001

Residence: City Irving

State TX

Country USA

Citizenship USA

Mailing Address 4104 Esters Rd, Apt 2101

Mailing Address

City Irving

State TX

ZIP 75038

Country USA

 Additional inventors are being named on the

supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto

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PTO/SB/81 (10-01)

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## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	
Filing Date	
First Named Inventor	Billings
Group Art Unit	
Examiner Name	
Attorney Docket Number	SSL-001

I hereby appoint:

 Practitioners at Customer NumberPlace Customer  
Number Bar Code  
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OR

 Practitioner(s) named below:

Name	Registration Number
James A. Barry, Jr.	44,524

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

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OR

<input checked="" type="checkbox"/> Firm or Individual Name	James A. Barry, Jr.		
Address	13967 Marquesas Way #19		
Address			
City	Marina del Rey	State	CA
Country	USA		
Telephone	310-306-8654	Fax	310-306-2582

I am the:

 Applicant/Inventor. Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

### SIGNATURE of Applicant or Assignee of Record

Name	James Martin Billings
Signature	<i>James Martin Billings</i>
Date	01-30-01

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

 \*Total of 2 forms are submitted.

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Application Number	
Filing Date	
First Named Inventor	Billings
Group Art Unit	
Examiner Name	
Attorney Docket Number	SSL-001

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Name	Registration Number
James A. Barry, Jr.	44,524

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<input checked="" type="checkbox"/> Firm or individual Name	James A. Barry, Jr.		
Address	13987 Marquesas Way #19		
Address			
City	Marina del Rey	State	CA
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Applicant/Inventor  
 Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

### SIGNATURE of Applicant or Assignee of Record

Name	William Robert Bailey, Jr.
Signature	
Date	01-29-2001

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

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